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# TRANSMITTAL FORM

Application Number 09/973,473

Filing Date October 9, 2001

First Named Inventor Nahum SONENBERG

Group Art Unit 1614

Examiner Name To Be Assigned

Total Number Of Pages In This Submission

8 AND 67  
REFS

Attorney Docket No. 514012000400

## ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declarations

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement – 3 pages

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/  
Incomplete Application

☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53

☐ Assignment Papers  
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a  
Provisional Application

☐ Power of Attorney, Revocation  
Change of Correspondence Address

☐ Terminal Disclaimer

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☐ After Allowance Communication to  
Group

☐ Appeal Communication to Board of  
Appeals and Interferences

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(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify  
below):

Form PTO-1449 – 4 pages  
67 References  
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Remarks

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm

or

Individual Name

Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304

Gladys H. Monroy (32,430)

Signature

Date

March 11, 2003

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Denise Lade

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PATENT  
Docket No. 514012000400

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*Denise Lade*  
Denise Lade

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

Nahum SONENBERG et al.

Serial No.: 09/973,473

Filing Date: October 9, 2001

For: NON-HUMAN TRANSGENIC ANIMAL  
WHOSE GERM CELLS AND SOMATIC  
CELLS CONTAIN A KNOCKOUT  
MUTATION IN DNA ENCODING 4E-  
BP1

Examiner: To be assigned

Group Art Unit: 1614

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of        is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of        is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.


Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing **514012000400**. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: March 11, 2003

Respectfully submitted,

By:   
Gladys H. Monroy  
Registration No. 32,430

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Form PTO-1449

Docket Number 514012000400

Application Number 09/973,473

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Applicant

Nahum SONENBERG et al.

Filing Date October 9, 2001

Group Art Unit 1614

Mailing Date March 11, 2003

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## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	07/28/1987	4,683,195	Mullis et al.			
	2.	07/28/1987	4,683,202	Mullis			
	3.	01/24/1989	4,800,159	Mullis et al.			
	4.	10/23/1990	4,965,188	Mullis et al.			
	5.	01/22/1991	4,987,071	Cech et al.			
	6.	01/14/1997	5,593,974	Rosenberg et al.			
	7.	01/27/1998	5,712,384	Symonds et al.			
	8.	05/26/1998	5,756,291	Griffin et al.			
	9.	08/11/1998	5,792,613	Schmidt et al.			
	10.	02/23/1999	5,874,231	Sonenberg et al.			
	11.	03/09/1999	5,879,938	Usman et al.			

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	12.	05/13/1993	WO 93/08845	WIPO			
	13.	07/21/1994	WO 94/15646	WIPO			
	14.	04/18/1996	WO 96/11266	WIPO			
	15.	10/24/1996	WO 96/32966	WIPO			
	16.	12/19/1996	WO 96/41169	WIPO			

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	17.	Altmann, M. et al. (1997). "A novel inhibitor of cap-dependent translation initiation in yeast: p20 competes with eIF4G for binding to eIF4E," <i>EMBO Journal</i> 16(5):1114-1121.
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Sheet 2 of 4

Form PTO-1449

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Nahum SONENBERG et al.

Filing Date October 9, 2001

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